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**TRANSMITTAL  
FORM***(to be used for all correspondence after initial filing)*

Total Number of Pages in This Submission

100

Application Number

10/777,028

Filing Date

February 11, 2004

First Named Inventor

Michael Cooke

Art Unit

1632

Examiner Name

Attorney Docket Number

P1099US10

**ENCLOSURES (check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication to TC☐ Appeal Communication to Board  
of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s)  
(please identify below):Return Postcard Receipt  
References AC-AJ**Remarks****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm

Genomics Institute of the Novartis Research Foundation

Signature

Printed Name

Hugh Want

Date

April 14, 2005

Reg.  
No.

47,163

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature

Michelle Fecteau

Typed or printed name

Michelle Fecteau

Date

4/20/05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Genomics Institute of the Novartis Research Foundation

mfecteau  
Michelle K. Fecteau

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Customer No.: 29490

Michael Cooke

Examiner:

Application No.: 10/777,028

Art Unit: 1632

Filed: February 11, 2004

For: METHODS AND COMPOSITIONS  
FOR MODULATING STEM CELLS

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR  
§ 1.97 AND § 1.98

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir,

The references cited on attached form PTO-1449 are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited information be expressively considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97 (g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action on the merits per 37 CFR 1.97(b)(3). However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 501885. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'H. Wang', with a stylized flourish extending to the right.

Hugh Wang, Reg. No. 47,163

Customer No. 29490

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	10/777,028
Filing Date	February 11, 2004
First Named Inventor	Michael Cooke
Art Unit	1632
Examiner Name	
Attorney Docket Number	P1099US10

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AB	International Search Report for PCT/US2004/04007 mailed October 5, 2004	
	AC	CHEN et al. Enforced Expression of the GATA-3 Transcription Factor Affects Cell Fate Decision in Hematopoiesis. Experimental Hematology. 2001, Vol. 29, pages 971-980, entire document.	
	AD	COOPER, C. et al. Expression of the Id Family Helix-Loop-Helix Regulators During Growth and Development in the Hematopoietic System. Blood. May 1, 1997, Vol. 89, No. 9, pages 3155-3165.	
	AE	KUSADASI, N. et al. Successful short-term ex vivo expansion of NOD/SCID repopulating ability and CAFC week 6 from umbilical cord blood. Leukemia, 2000, Vol. 14, pages 1944-1953.	
	AF	Portrait of a Stem Cell. Developmental Cell 612, 2 pages.	
	AG	IVANOVA, Natalia, et al. A Stem Cell Molecular Signature. Science, October 18, 2002, Vol 298, page 601-604.	
	AH	RAMALHO-SANTOS et al. "Stemness": Transcriptional Profiling of Embryonic and Adult Stem Cells, Science, October 18, 2002, Vol. 298 pages 597-600.	
	AI	STORB, Rainer. Allogeneic hematopoietic stem cell transplantation-Yesterday, today, and tomorrow. Experimental Hematology, 2003, Vol. 31, pages 1-10.	
	AJ	ZHAO et al., Blood 96: 3016-22, 2000; and Zhong et al., Blood 100: 3521-6, 2002	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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